

01-10-02

A



SD6718/S95544  
Express Mail No.: EL026586605US



ASSISTANT COMMISSIONER FOR PATENTS  
BOX PATENT APPLICATION  
WASHINGTON, D.C. 20231

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**Under 37 CFR 1.53(b)**

Transmitted herewith for filing is the patent application of

INVENTOR(S): DARRYL Y. SASAKI, TINA A. WAGGONER, and JULIE A. LAST

FOR: SELF-ASSEMBLED LIPID BILAYER MATERIALS

**I. APPLICATION ELEMENTS**

1. ☒ Fee Transmittal Form (original + duplicate)
2. ☒ Specification  
Total Pages ---13---
3. ☒ Drawings  
Total Sheets ----2---
4. ☒ Oath or Declaration (with Power of Attorney) Total Pages 3
  - a. ☒ Newly Executed
  - b. ☐ Copy from Prior Application  
(Continuation or Divisional)
- ☐ Deletion of Inventors  
Signed Statement Attached Deleting Inventor(s) named in  
prior Application. 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation by Reference (if Box 4b is checked). The entire  
disclosure of the prior application(s) from which a copy of the  
Oath or Declaration is supplied under Box 4b, is considered as  
being part of the disclosure of the accompanying application and  
is hereby incorporated by reference therein.
6. ☐ Microfiche Computer Program (Appendix)

## II. ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet and document(s))
8. ☐ 37 CFR 3.73(b) Statement (where there is an assignee) ☒ Power of Attorney (with the Declaration)
9. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
10. ☐ Preliminary Amendment
11. ☒ Return Receipt Postcard (Itemized)
12. ☐ Other

## III. IF A CONTINUING APPLICATION

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP)

of prior application No. \_\_\_/\_\_\_\_\_

## IV. CORRESPONDENCE ADDRESS

Timothy D. Stanley  
Sandia National Laboratories  
P. O. Box 5800 - MS-0161  
Albuquerque, New Mexico 87185-0161

Phone: (505) 844-8600  
FAX: (505) 844-1418

Dated: 10-23-01

Elmer A. Klavetter  
Elmer A. Klavetter, 42,743  
Sandia National Laboratories  
Patent & Licensing Center, 11500  
P. O. Box 5800 / MS 0161  
Albuquerque, NM 87185-0161  
Telephone: (505) 845-8628

### CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the U. S. Postal Service on the 23rd day of October 2001, in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL027381815US, addressed to the: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Marilynn Gabel  
Marilynn Gabel

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">FOR FY 2002</h2> <p style="font-size: small; margin-top: 10px;">Patent fees are subject to annual revision. Small Entity payments <i>must</i> be supported by a small entity statement. Otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</p>	<b>Complete if Known</b>	
	Application Number	
	Filing Date	October 23, 2001
	First Named Inventor	Darryl Y. Sasaki, et al
	Examiner Name	
Group / Art Unit		
TOTAL AMOUNT OF PAYMENT	(\$) <b>740.00</b>	
Attorney Docket No.	SD6718/S95544	

<h3 style="margin: 0;">METHOD OF PAYMENT (check one)</h3> <p>The Commissioner is hereby authorized to charge.</p> <p>1. <input checked="" type="checkbox"/> Indicated fees and credit any over payments to:</p> <p>Deposit Account Number: <b>19-0131</b></p> <p>Deposit Account Name: <b>Sandia Corporation</b></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p>2. Payment Enclosed:</p> <p><input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>	<h3 style="margin: 0;">FEE CALCULATION (continued)</h3> <h4 style="margin: 0;">3. ADDITIONAL FEES</h4> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Fee Code</th> <th style="text-align: left;">Entity Fee (\$)</th> <th style="text-align: left;">Small Fee Code</th> <th style="text-align: left;">Entity Fee (\$)</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: center;">Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840</td><td>11</td><td>1,840</td><td>Requesting publication of SIR after Examiner</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td>980</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final refection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> </tbody> </table> <p style="text-align: right;">*Reduced by Basic Filing Fee Paid</p> <p style="text-align: right;">SUBTOTAL (3) (\$)</p>	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840	11	1,840	Requesting publication of SIR after Examiner		115	110	215	55	Extension for reply within first month		116	400	216	200	Extension for reply within second month		117	920	217	460	Extension for reply within third month		118	1,440	218	720	Extension for reply within fourth month		128	1,960	228	980	Extension for reply within fifth month		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,240	241	620	Petition to revive - unintentional		142	1,240	242	620	Utility issue fee (or reissue)		143	440	243	220	Design issue fee		144	600	244	300	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	710	246	355	Filing a submission after final refection (37 CFR 1.129(a))		149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify) _____						Other fee (specify) _____					
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																										
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																											
127	50	227	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																											
139	130	139	130	Non-English specification																																																																																																																																																																											
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																											
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																											
113	1,840	11	1,840	Requesting publication of SIR after Examiner																																																																																																																																																																											
115	110	215	55	Extension for reply within first month																																																																																																																																																																											
116	400	216	200	Extension for reply within second month																																																																																																																																																																											
117	920	217	460	Extension for reply within third month																																																																																																																																																																											
118	1,440	218	720	Extension for reply within fourth month																																																																																																																																																																											
128	1,960	228	980	Extension for reply within fifth month																																																																																																																																																																											
119	310	219	155	Notice of Appeal																																																																																																																																																																											
120	310	220	155	Filing a brief in support of an appeal																																																																																																																																																																											
121	270	221	135	Request for oral hearing																																																																																																																																																																											
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																											
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																											
141	1,240	241	620	Petition to revive - unintentional																																																																																																																																																																											
142	1,240	242	620	Utility issue fee (or reissue)																																																																																																																																																																											
143	440	243	220	Design issue fee																																																																																																																																																																											
144	600	244	300	Plant issue fee																																																																																																																																																																											
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																											
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																											
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																																											
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																											
146	710	246	355	Filing a submission after final refection (37 CFR 1.129(a))																																																																																																																																																																											
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																											
Other fee (specify) _____																																																																																																																																																																															
Other fee (specify) _____																																																																																																																																																																															

  

<h3 style="margin: 0;">FEE CALCULATION</h3> <h4 style="margin: 0;">1. BASIC FILING FEE</h4> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Fee Code</th> <th style="text-align: left;">Entity Fee (\$)</th> <th style="text-align: left;">Small Fee Code</th> <th style="text-align: left;">Entity Fee (\$)</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: center;">Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>740</td><td>201</td><td>370</td><td>Utility filing fee</td><td style="text-align: center;">740</td></tr> <tr><td>106</td><td>330</td><td>206</td><td>165</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>510</td><td>207</td><td>255</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>740</td><td>208</td><td>370</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>160</td><td>214</td><td>80</td><td>Provisional filing fee</td><td></td></tr> </tbody> </table> <p style="text-align: right;">SUBTOTAL (1) (\$)<b>740</b></p> <h4 style="margin: 0;">2. EXTRA CLAIM FEES</h4> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Total Claims</th> <th style="text-align: left;">Independent Claims</th> <th style="text-align: left;">Multiple Dependent</th> <th style="text-align: left;">Extra Claims</th> <th style="text-align: left;">Fee from below</th> <th style="text-align: left;">Fee Paid</th> </tr> </thead> <tbody> <tr> <td>18</td> <td>3</td> <td></td> <td>-20**= 0</td> <td>X 0 = 0</td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td>- 3**= 0</td> <td>X 0 = 0</td> <td></td> </tr> </tbody> </table> <p style="font-size: small; margin-top: 10px;">**or number previously paid, if greater; For Reissues, see below.</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Fee Code</th> <th style="text-align: left;">Entity Fee (\$)</th> <th style="text-align: left;">Small Fee Code</th> <th style="text-align: left;">Entity Fee (\$)</th> <th style="text-align: left;">Fee Description</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td></tr> <tr><td>102</td><td>84</td><td>202</td><td>42</td><td>Independent claims in excess of 3</td></tr> <tr><td>104</td><td>280</td><td>204</td><td>140</td><td>Multiple dependent claim, if not paid</td></tr> <tr><td>109</td><td>84</td><td>209</td><td>42</td><td>**Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>**Reissue claims in excess of 20 and over original patent</td></tr> </tbody> </table> <p style="text-align: right;">SUBTOTAL (2) (\$)<b>0</b></p>	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	101	740	201	370	Utility filing fee	740	106	330	206	165	Design filing fee		107	510	207	255	Plant filing fee		108	740	208	370	Reissue filing fee		114	160	214	80	Provisional filing fee		Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid	18	3		-20**= 0	X 0 = 0					- 3**= 0	X 0 = 0		Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	103	18	203	9	Claims in excess of 20	102	84	202	42	Independent claims in excess of 3	104	280	204	140	Multiple dependent claim, if not paid	109	84	209	42	**Reissue independent claims over original patent	110	18	210	9	**Reissue claims in excess of 20 and over original patent	<h3 style="margin: 0;">SUBMITTED BY</h3> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Typed or Printed Name</td> <td>ELMER A. KLAVETTER</td> </tr> <tr> <td>Signature</td> <td><i>Elmer A. Klavetter</i></td> </tr> <tr> <td>Date</td> <td>10-23-01</td> </tr> </table>	Typed or Printed Name	ELMER A. KLAVETTER	Signature	<i>Elmer A. Klavetter</i>	Date	10-23-01
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																						
101	740	201	370	Utility filing fee	740																																																																																						
106	330	206	165	Design filing fee																																																																																							
107	510	207	255	Plant filing fee																																																																																							
108	740	208	370	Reissue filing fee																																																																																							
114	160	214	80	Provisional filing fee																																																																																							
Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid																																																																																						
18	3		-20**= 0	X 0 = 0																																																																																							
			- 3**= 0	X 0 = 0																																																																																							
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description																																																																																							
103	18	203	9	Claims in excess of 20																																																																																							
102	84	202	42	Independent claims in excess of 3																																																																																							
104	280	204	140	Multiple dependent claim, if not paid																																																																																							
109	84	209	42	**Reissue independent claims over original patent																																																																																							
110	18	210	9	**Reissue claims in excess of 20 and over original patent																																																																																							
Typed or Printed Name	ELMER A. KLAVETTER																																																																																										
Signature	<i>Elmer A. Klavetter</i>																																																																																										
Date	10-23-01																																																																																										

<b>Complete (if applicable)</b>	
Reg. Number	42,743
Deposit Account User ID	19-0131

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor		Darryl Y. Sasaki
	Title	Self-Assembled Lipid Bilayer Materials	
	Atty Docket Number		SD6718/S95544

I hereby certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

10-23-01  
Date

Elmer A. Klavetter  
Signature

Elmer A. Klavetter, No. 42,743  
Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Application may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**